

1/13/03
PAB
7/B

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Sloan et al.

Docket No.: 60021-375702

Serial No.: 09/929,735

Group Art Unit: Unassigned

Filing Date: August, 13, 2001

Examiner: Unassigned

For: **COMMUNICATION INTERFACE FOR A FINANCIAL MODELING AND COUNSELING SYSTEM**

Box New Applications and Associated Papers and Fees

Assistant Commissioner for Patents

Washington, D.C. 20231



PRELIMINARY AMENDMENT

Please amend the Application and consider the remarks as hereafter provided:

In the Specification:

Please delete the paragraph beginning on page 1, line 6 and replace with the following so that it reads:

CROSS REFERENCE TO RELATED APPLICATIONS

The present application is a continuation of a parent application serial number 09/705,290, filed November 1, 2000, entitled "COMMUNICATION INTERFACE FOR A FINANCIAL MODELING AND COUNSELING SYSTEM", of the assignee of the present invention, incorporated herein by reference.

Furthermore, the present application is a continuation-in-part of U.S. application number 09/431,389 entitled "SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A FINANCIAL MANAGEMENT AND ADVICE GENERATING INFORMATION FRAMEWORK" filed November 1, 1999, U.S. application number 09/452,273 entitled "SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR INVESTMENT".

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:) Attorney Docket No.: 60021.375702
SLOAN et al.) Examiner: Unassigned
Application No.: 09/929,735) Group Art Unit: Unassigned
Filed: August 13, 2001) Date: November 13, 2001
For: COMMUNICATION INTERFACE FOR A)
FINANCIAL MODELING AND COUNSELING)
SYSTEM)



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail to: Commissioner for Patents, Washington, DC 20231 on November 13, 2001.

Signed: Yvonne Mock

Yvonne Mock

Commissioner of Patents
Box: New Applications and Associated Papers and Fees
Washington, DC 20231

Sir:

Transmitted herewith is a preliminary amendment in the above-identified application.

- Applicant(s) believe that no (additional) Extension of Time is required; however, if it is determined that such an extension is required, Applicant(s) hereby petition that such an extension be granted and authorize the Commissioner to charge the required fees for an Extension of Time under 37 CFR 1.136 to Deposit Account No. 02-3964.
- If the required fees are missing or any additional fees are required to facilitate filing the enclosed response, please charge such fees or credit any overpayment to Deposit Account No. 02-3964 (Order No. 60021.375702). A copy of this sheet is enclosed.

Respectfully submitted,
OPPENHEIMER WOLFF & DONNELLY, LLP

Rambod Nader
Registration No. 47,262

1400 Page Mill Road
Palo Alto, CA 94034
Telephone: (650) 320-4000

(Revised 1/96)